



PTO/SB/21 (05-03)

Approved for use through 04/30/2003. OMB 0651-0031

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TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	10/726,130	
	Filing Date	Dec 1, 2003	
	First Named Inventor	Sun, Yupin	
	Art Unit	2873	
	Examiner Name	unknown	
Total Number of Pages in This Submission	5*	Attorney Docket Number	3084.017

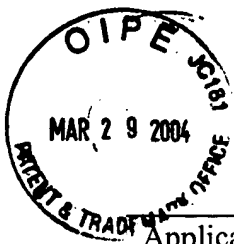
ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return postcard to Applicant's Attorney
Remarks *Exclusive of patents and publications		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	SINSHEIMER, SCHIEBELHUT & BAGGETT by Julie A. Hopper (Reg. No. 50869)
Signature	
Date	March 26, 2004

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I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
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Signature		Date	March 26, 2004

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Sun et al.

Serial No.: 10/726,130

Filed: 12/1/2003

Title: APPARATUS AND METHOD FOR
USE IN FULFILLING
ILLUMINATION PRESCRIPTION

Group Art Unit:

2873

Examiner:

unknown

Attorney Docket No.: 3084.017

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or
(Within three months of filing national application; or date of entry of international application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:
☐ Statement under 37 CFR 1.97(e), or
☐ a \$180.00 fee under 37 CFR 1.17(p), or
(After the CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with a:
☐ Statement under 37 CFR 1.97(e), and
☐ a \$180.00 fee set forth in 37 CFR 1.17(p).
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

☒ Applicant(s) submit herewith Form PTO/SB/08A Information Disclosure Citation together with copies, of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

The items listed on PTO/SB/08A are either in the English language or an English translation is provided, therefore, no further explanation is required, with the exception of the following non-English reference. A concise explanation, as presently understood, is as follows:

SU 1282051 A1 appears to be related to a luminous energy collimator having a paraboloid axis inclined at angle towards symmetry axis given by relationship.

Applicant submits that the above references taken alone or in combination neither anticipates nor renders obvious the present invention. Consideration of the foregoing in relation to this application is respectfully requested.

It is requested that the information disclosed herein be made of record in this application

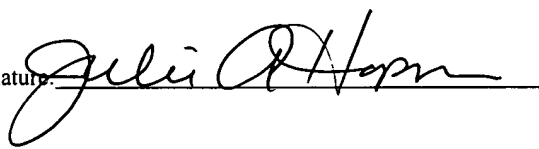
Respectfully submitted,

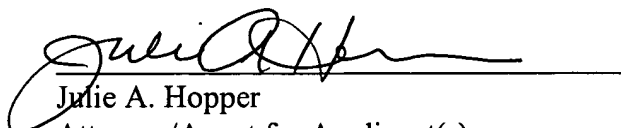
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SINSHEIMER, SCHIEBELHUT &
BAGGETT

Date of Deposit: March 26, 2004

Typed Name: Julie A. Hopper

Signature: 


Julie A. Hopper
Attorney/Agent for Applicant(s)
Reg. No. 50869

Date: March 26, 2004

Telephone No.: (805) 781-2824



PTO/SB/08A (06-03)

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

1

of

2

Complete if Known

Application Number	10/726,130
Filing Date	12/1/2003
First Named Inventor	Sun et al.
Art Unit	2873
Examiner Name	unknown
Attorney Docket Number	3084.017

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
		US appl no. 10/269,479	10-11-2002	Benitez	
		US appl no. 10/461,557	06-12-2003	Minano	
		US appl no. 10/622,874	07-18-2003	Minano	
		US appl no. 10/772,088	02-03-2004	Minano, et al.	
		US appl no. 10/779,259	02-13-2004	Benitez	

FOREIGN PATENT DOCUMENTS

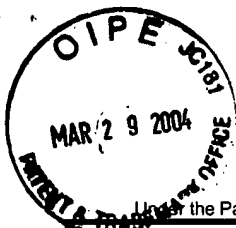
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)				
		SU 1282051 A1	01-07-1987	Spigulis		
		EP 0 450 560 A2	10-09-1991	Totah, et al.		
		WO 99/09349	02-25-1999	De Coma International Inc.		
		WO 99/13266	03-18-1999	Simon		
		WO 01/07828 A1	02-01-2001	Pelka		
		WO 03/066374 A2	08-14-2003	Steen, et al.		
		WO 03/066374 A3	08-14-2003	Steen		
		WO 04/007241 A2	01-22-2004	Steen, et al.		

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Application Number	10/726,130
Filing Date	12/1/2003
First Named Inventor	Sun et al.
Art Unit	2873
Examiner Name	unknown
Attorney Docket Number	3084.017

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		Remillard, Everson and Weber, "Loss Mechanisms Optical Light Pipes" <i>Applied Optics</i> Vol 31 #34 pp. 7232-7241 December 1992.	
		Parkyn et al "The Black Hole™: Cusped waveguide-injectors and illuminators for LEDs; Part of the SPIE Conference on Nonimaging Optics: Maximum Efficiency Light Transfer V, Denver, CO, July 1999.	
		Hyper ARGUS®LED, Hyper-Bright, 3mm (T1) LED, Non Diffused; 3-1-2000; Infineon Technologies, pp. 1-9.	
		Spigulis, "Compact dielectric reflective elements, Half-sphere concentrators of radially emitted light" <i>Applied Optics</i> Vol. 33, No. 25, September 1994.	

Examiner Signature	Date Considered
-----------------------	--------------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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